

Meeting: Senior Leadership Team **Date:** 14/08/17
Agenda Item: 4 **Time:** 10 minutes
Proactive Publication: Yes **Internal Publication:** Yes

Communications options:
key messages / SLT extra / Blog / external communications

Presenter: Paul Arnold

Topic: Steering Group update

Issue: The minutes of the following recent Steering Groups are presented for information.

- Change Programme Board – 17 July
- DCEO Steering Group – 20 July
- Policy Steering Group – 25 July
- Operations Steering Group – 27 July

Change Programme Board Minutes

Monday 17 July

Members

Paul Arnold	Deputy Chief Executive Officer (Chair)
Steve wood	Deputy Commissioner (Policy)
James Dipple-Johnstone	Deputy Commissioner (Operations)
Jonathan Bamford	Head of Parliament and Government Affairs
Jo Pedder	Head of Policy & Engagement
Ken Macdonald	Head of ICO Regions
Mike Collins	Head of Organisational Development
Emma Deen	Interim Head of Customer and Business Services (Business Development)
Heather Dove	Head of Finance
Rob Parker	Head of Corporate Affairs
Andrew Laing	Head of Data Protection Complaints and Reviews
Steve Eckersley	Head of Enforcement
Anulka Clarke	Head of Assurance
Rachael Cragg	Group Manager Change Programme
Sarah Meyers	Change Programme Manager

Attendees

Kirsty Keogh	Group Manager - Corporate Communications
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Secretariat

Peter Bloomfield	Senior Corporate Governance Manager
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1. Introductions and apologies

There were apologies from Adam Sowerbutts and Faye Spencer. Kirsty Keogh was welcomed to this, her first, meeting of the Change Programme Board.

2. Matters arising from the previous meeting

Minutes

The minutes of the previous meeting were agreed.

Outstanding actions

The action for managers to ensure that their staff had completed the GDPR training was cleared.

The action on the tracking of progress across the three projects would be covered later in the meeting as would the RAID log.

Rachael Cragg advised that, in respect of the NIS directive and creating a backlog, a meeting had taken place on Friday with Jonathan Bamford and others and a draft backlog had been created. There had not been time to circulate the draft backlog in advance of this meeting but it would be circulated shortly.

3. Monthly project highlight reports

Service delivery:

There were material risks in respect of article 29 work on corrective measures and there was a meeting scheduled to discuss the issues. However, there was no change to the project risk profile.

Policy and engagement:

Engagement with the Home Office over the Law Enforcement Directive was discussed.

Enabler/support:

Additional accommodation was being sought for up to 70 staff.

In respect of funding the DCMS consultation on fees should start in July. They were using a research company to contact 2,000 stakeholders about fee ranges.

In terms of overall risk there were no new risks identified and existing risks were being managed.

4. Programme and project role definitions

Internal audit had suggested that the ICO defined and clarify programme and project roles in greater detail. It was confirmed that the circulated document had addressed this. The roles and responsibilities allocated within the document were agreed.

5. Update programme plan

Key milestones for the programme plan had been identified and were being cleared as appropriate. The updated plan would be made available on ICON.

6. Balancing priorities between current and future regimes

Discussion

The question was asked as to whether there was anything the ICO could stop doing now to allow it to focus resources on new priorities? The question did not need answering now, but there was a need to think about priorities, and to understand any wider implications for the office from any decisions made.

Decision

Steering groups and other office groups to consider where resources could be better focused. The Change Board would pull together any proposed changes with a view to discussion at future boards with Senior Leadership Team signing off decisions where needed.

7. LED impact assessment

Discussion

A paper drafted in response to a Home Office Economic Impact Assessment questionnaire in respect of the Law Enforcement Directive was discussed.

Decision

The content of the paper was agreed subject to amendment to the title and wording to clarify that the work did not provide an economic impact assessment.

Those involved in preparing the assessment were thanked by the Board for their work, especially given the short deadlines.

9. Communications

Discussion

There was discussion on the further work needed on communications.

Actions

Robert Parker and Rachael Cragg to pull together a communications plan for the lead up to the GDPR implementation.

10. Any other business

Future work on the Passenger Name Directive and the NIS directive was highlighted.

Deputy Chief Executive Officer Steering Group minutes

Thursday 20 July 2017

Members

Paul Arnold	Deputy Chief Executive Officer (Chair)
Jonathan Bamford	Head of Parliament and Government Affairs
Ken Macdonald	Head of ICO Regions
Mike Collins	Head of Organisational Development
Emma Deen	Interim Head of Customer and Business Services (Business Development)
Faye Spencer	Interim Head of Customer and Business Services (Customer Contact)
Heather Dove	Head of Finance
Rob Parker	Head of Corporate Affairs
Andrew Laing	Head of Data Protection Complaints and Reviews
Steve Eckersley	Head of Enforcement
David Wells	Head of IT

Secretariat

Peter Bloomfield	Senior Corporate Governance Manager
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1.0 Introductions and apologies

There were no apologies.

2.0 Matters arising from the previous meeting

Minutes

The minutes were agreed.

Action Board

All actions had been cleared.

3.0 Finance report

Discussion

The main point to note was that notification fee income was tracking ahead of forecast at the end of Q1, giving us confidence to forecast an overall 6% increase for the year compared with 16/17. Much of the increase was due to the work done on chasing non-

payment. The group again offered their thanks to the work of the staff in Registration who continued to successfully follow up on late payments and to grow the public register.

Salary spend was within £500 of budget as profiled YTD. The forecast included the projected increase in staff numbers. Heather Dove and Mike Collins would be monitoring expenditure closely as recruitment continued.

Grant in aid for eIDAS expenditure was allocated to the Assurance Team. There was no current allocation for enforcement work, however, expenditure was reviewed annually and if needed the ICO could negotiate for an increase.

Initiatives not yet budgeted for which arose during the year would have to be reviewed against current priorities. All extra expenditure would require a virement form or an agreed business case if additional budget was required.

Action

Heather Dove to amend the Management Board (MB) paper to reflect the current position on accommodation negotiations.

4.0 People strategy

Discussion

Headline staff turnover figures appear good in comparison to other parts of the public sector at a projected 9% for the year. However, our turnover figures are influenced heavily by the growth of the organisation as a whole and the headline figure also masks turnover approaching 20% in our departments with the greatest face to face contact with our key stakeholders. The extra impact of losing staff with several years experience was also highlighted.

There was discussion of the reasons for people leaving the ICO, and how best to mitigate the risks and build resilience.

Michael Collins updated the meeting on other matters including pay benchmarking, the on-going pay review and Civil Service Learning. In respect of the latter, how to influence the training provided was discussed, in particular the London location of much of the training. Whilst the training courses themselves were often less expensive when booked through CSL, the London centric nature of the training providers meant the net cost of the training was often more expensive once travel expense was taken into account. The group discussed ways to lobby CSL to better reflect the regionally diverse locations of their service users.

Actions

Michael Collins to consider how best to link turnover to length of experience in figures being brought to the steering group.

Andrew Laing, Jonathan Bamford, Stephen Eckersley and Michael Collins to produce a checklist for all departments to consider to help them identify areas of low resilience should key staff leave the ICO. This checklist then to be used as the basis for a return from all departments to the DCEO steering group to give us assurance that resilience is being given appropriate priority in our directorate and departmental business plans.

4.1 MB paper re People strategy

Discussion

This paper was being discussed prior to coming to MB. Paul Arnold highlighted the section on management/leadership development work. With the ICO recruiting many new staff and managers there was a need to focus on this area and the possibility of providing management/leadership development opportunities in quarter three was being considered. Paul Arnold acknowledged the general pressure on time anticipated during Q3 and he assured the group that any management/leadership development planned at that time would be on the basis that the short term investment of time was also beneficial in helping us cope with our short term challenges as managers and leaders.

The recent work on reward was discussed and Stephen Eckersley was asked to re-circulate his work for further comments.

The possibility of having an “open evening” event to allow potential recruits to visit the office and talk to staff was raised, as was publishing a matrix of all the anticipated vacancies to be advertised during the year. It was felt that this would give both external and internal interested parties an opportunity to make informed choices about the roles at the ICO they apply for.

Actions

Mike Collins to take forward ideas on holding an “open evening” event and the publication of a recruitment matrix.

5.0 DCEO directorate business plan update

Discussion

The directorate business plan was presented for information.

Actions

Heather Dove to update finance entries in the plan.

6.0 Risk and opportunity register

Discussion

The risk and opportunities register was presented for information.

Policy Steering Group minutes

Tuesday 25 July 2017

Members

Steve Wood	Deputy Commissioner (Policy) (Chair)
Jonathan Bamford	Head of Parliament and Government Affairs
Ken Macdonald	Head of ICO Regions
Jo Pedder	Head of Policy and Engagement
Faye Spencer	Interim Head Customer and Business Services (Customer Contact)
Heather Dove	Head of Finance
Adam Sowerbutts	Head of Freedom of Information Complaints and Appeals
Anulka Clarke	Interim Head of Assurance
Peter Brown	Group Manager (Technology Policy)
Kirsty Keogh	Group Manager (Corporate Communications)

Attendees

None

Secretariat

Catherine Wheeler

1. Introductions and apologies

There were apologies from Richard Marbrow and Robert Parker.

2. Matters arising from the previous meeting

Minutes

There were no matters arising from the previous minutes.

Action Board

Completed actions were cleared.

Proposed updates to the PSG Terms of Reference were agreed.

Updates were given on each of the outstanding actions:

- Iain Bourne's actions have been completed and he will attend the next PSG he is able to attend to give an update.
- John Kavanagh's actions are to be carried forward, Jonathan Bamford will chase.
- The outstanding Steve Wood and Jonathan Bamford action to be carried forward.

3. Risks and opportunities

Discussion

It was proposed that the Risk Register would be reviewed at each meeting with a focus on actions being taken to mitigate the risks.

It was noted that change focussed risks would be moved to the Change Programme's risk register to avoid duplication.

The regulatory overlap with other regulators is emerging as a possible risk in respect of confusion over roles.

Decision

It was agreed that a list of the current and proposed regulators that could potentially have overlapping responsibilities with the ICO needed to be developed. A 'road map' of the overlaps, and who is responsibility for what, can then be drafted.

Actions

Jonathan Bamford and Jo Pedder to work together to develop a road map of where regulatory overlap exists, or could potentially exist, between current and proposed regulators for internal use.

4. Strategic files

Discussion

Updates were given on strategic files.

Adam Stevens is aiming to provide strategic files information and updates on ICON to keep staff informed. He has also drafted a strategic files process which is with Steve Wood for review before coming to the next PSG meeting.

Some of the strategic files were discussed in depth.

Rachael Cragg advised that she and Richard Marbrow will be reviewing the High Profile Case Procedure.

In respect of Tasking and Coordinating Groups it was confirmed that they were still meeting and Adam Stevens is writing some proposals on how they might be improved.

Decision

It was agreed that there would be a need in the future to review policy issues that have been raised by the handling of strategic files.

Actions

Steve Wood to bring the strategic files process document to the next PSG meeting for review and comment.

Steve Wood to send Rachael Cragg the strategic files process document for cross-checking with the high profile case procedure.

5. Priority work streams

Discussion

The Policy Work Stream Tracker was reviewed.

6. Management Board report

Discussion

It was noted that each group will be required to provide a report to the Senior Leadership Team. Peter Bloomfield has offered to draft these reports and send round the PSG for comment.

7. Research update

Discussion

Plans for a Citizens Jury on data analytics were on hold.

Lisa O'Brien will be leading on the work on computer science courses. The first phase is complete and the second phase will be started shortly.

8. Grants programme update

Discussion

The opportunity for organisations to bid for a grant will be closing this week. A wide range of applications have been received so far. There was discussion on the working of the grants programme.

Heather Dove advised that they could use the 'priority payments' email to ensure that expenses payments were made to external panel members in a timely manner.

Decision

It was agreed that there would need to be an update provided to stakeholders between the grant application process closing and grants being awarded.

9. Technology update

Discussion

The Technology Policy team are currently working on the GDPR and Cybersecurity guidance. The mapped DPA technology guidance is being reviewed in light of the GDPR as is the privacy in arts and technology guidance.

A report is being drafted on connected devices such as toys. This will link into the ICO children's strategy and consideration of online gambling.

Actions

Peter Brown to update the Technological Developments & Risks Report that sets out near and distant risks coming about as the result of new technologies, for the next Steering Group.

10. Consultation and Select Committee responses

Discussion

All were asked to advise Cathy Wheeler of consultation responses and parliamentary calls for evidence that are in process so they can be included in the report.

11. Change programme update

Discussion

Work on the backlog has been done.

Rachael Cragg will be taking over governance process updates. RAID log updates will be provided to PSG rather than the PSG going through the more detailed backlog in every meeting. Rachael Cragg will look through the RAID log before each PSG and flag any issues.

The guidance approval routes need to be considered. It was proposed that a guidance sub-group could be created to review and work on guidance before it comes to the PSG for sign-off.

Actions

Jo Pedder to bring a proposal for possible guidance sign-off routes to the next PSG.

12. Any other business

Discussion

It was asked if to whether there are ways for changes to the EUDPR Knowledge Base to be flagged up. The network meeting representatives should be disseminating the changes being made to their team.

Work is being done on producing a second staff survey to measure staff EUDPR knowledge levels.

Actions

Rachael Cragg will ensure the EUDPR knowledge base which is on ICON is made more obvious to staff.

Rachael Cragg to ensure that a spreadsheet of EUDPR queries that have been raised but not yet answered is made available.

Operations Steering Group minutes

Thursday 27 July 2017

Members

James Dipple-Johnstone	Deputy Commissioner (Operations)
Jo Pedder	Head of Policy and Engagement
Emma Deen	Interim Head of Customer and Business Services (Business Development)
Faye Spencer	Interim Head of Customer and Business Services (Customer Contact)
Andrew Laing	Head of Data Protection Complaints and Reviews
Adam Sowerbutts	Head of Freedom of Information Complaints and Appeals
Steve Eckersley	Head of Enforcement
Anulka Clarke	Interim Head of Assurance
Robert Parker	Head of Corporate Affairs
Richard Marbrow	Corporate Governance Group Manager

Secretariat

Peter Bloomfield	Senior Corporate Governance Manager
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1. Introductions and apologies

James Dipple-Johnstone welcomed members to this, his first, steering group meeting.

2. Matters arising from the previous meeting

Minutes

The minutes were agreed.

Actions and decisions

There were no outstanding actions.

3. Operations summary report

Discussion

The statistics report was presented covering both freedom of information and data protection work.

Decision

It agreed that when relevant the draft operational statistics report for Management Board would come to the preceding steering group meeting.

The report currently provides figures back to 2009. There was currently a need for this but providing figures that far back should be reviewed in the next few months.

Actions

Corporate Governance to talk to Iain Campbell about the provision of a monthly statistical report (including Enforcement and Assurance work) coming to come to the Steering Group. This would include where appropriate the Management Board report.

All members to consider what management information comes to the monthly meetings and to raise suggestions at the next meeting.

4. Verbal updates - Operations Heads of Department

Discussion

Enforcement

Steve Eckersley advised the group on:

- intake
- high profile cases and the need to review procedures
- the need for GDPR procedures to be developed and
- recruitment of new staff.

Assurance

Anulka Clarke advised that (amongst other matters):

- the final DRIPA audit had been completed
- the second release of the SME toolkit had been completed (release 3 covering GDPR was being developed)
- work was ongoing on Binding Corporate Rules and
- audit processes were being reviewed.

Data Protection Complaints and Reviews

Andy Laing reported the highest receipts and closures ever in quarter 1. There followed discussion on the need to keep up on current workloads and to prepare for GDPR implementation. The recruitment and induction of new staff would be a major issue.

There was also discussion as to how best to promote GDPR compliance with data controllers by better use of the website.

Freedom of Information Complaints and Appeals

Adam Sowerbutts updated the group on first quarter performance for the department:

- Workloads were variable over the quarter and in need of close monitoring.
- Appeals volumes are as expected
- The team is recruiting for another solicitor and there is a need to recruit at levels C and D.

Actions

Andy Laing and Jo Pedder to consider how best to promote GDPR compliance to data controllers, feeding back to this and the Communications Steering Group.

5. Risks and opportunities

Discussion

Richard Marbrow explained the new format for the risk and opportunity register and the process for updating the register.

6. Department business plans

Discussion

James Dipple-Johnstone introduced the first draft of the Directorate Business Plan for any initial comments.

The need to review some of the measures was identified. This was to be taken outside the meeting.

It was also noted that joining up core skills training (ie difficult customer and investigations training) would be useful.

7. Steering Group terms of reference

Discussion

The terms of reference for the steering group had been updated to reflect changes in membership (the addition of Richard Marbrow and Simon Entwisle), changes in meeting frequency and the management information being provided. The wording referring to Policy Directorate members needed tightening up.

Action

Peter Bloomfield to ensure the terms of reference were updated.

8. Any other business

The question of coordinating recruitment to ICO vacancies better was raised. Michael Collins has an action point from DCEO SG to look at this.

The inclusion in the operational statistics of Enforcement and Assurance work was also raised.